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CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on the below date:

Date: August 17, 2004 Name: Joseph F. Hetz Signature:

BRINKS  
HOFFER  
GILSON  
& LIONE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: Crowley et al.

Appln. No.: 10/774,758

Filed: February 9, 2004

For: System Architecture and Method for Three-Dimensional Memory

Attorney Docket No: 10519-114

Examiner:

Art Unit: 2818

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL

Sir:

Attached is/are:

- ☒ Transmittal Letter (1 page in duplicate); Information Disclosure Statement (2 pages); Form PTO 1449 (2 pages); 3 References
- ☒ Return Receipt Postcard

Fee calculation:

- ☒ No additional fee is required.
- ☐ Small Entity.
- ☐ An extension fee in an amount of \$\_\_\_\_\_ for a \_\_\_\_\_-month extension of time under 37 C.F.R. § 1.136(a).
- ☐ A petition or processing fee in an amount of \$\_\_\_\_\_ under 37 C.F.R. § 1.17(\_\_\_\_\_).
- ☐ An additional filing fee has been calculated as shown below:

|   |                                  |       |                                 |               | Small Entity |           |    | Not a Small Entity |           |
|---|----------------------------------|-------|---------------------------------|---------------|--------------|-----------|----|--------------------|-----------|
|   | Claims Remaining After Amendment |       | Highest No. Previously Paid For | Present Extra | Rate         | Add'l Fee | or | Rate               | Add'l Fee |
| Total                                     |                                  | Minus |                                 |               | x \$9=       |           |    | x \$18=            |           |
| Indep.                                    |                                  | Minus |                                 |               | x 43=        |           |    | x \$86=            |           |
| First Presentation of Multiple Dep. Claim |                                  |       |                                 |               | +\$145=      |           |    | +\$290=            |           |
|   |                                  |       |                                 |               | Total        | \$        |    | Total              | \$        |

Fee payment:

- ☐ A check in the amount of \$\_\_\_\_\_ is enclosed.
- ☐ Please charge Deposit Account No. 23-1925 in the amount of \$\_\_\_\_\_. A copy of this Transmittal is enclosed for this purpose.
- ☐ Payment by credit card in the amount of \$\_\_\_\_\_ (Form PTO-2038 is attached).
- ☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,

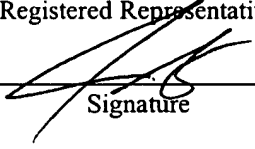
Date

8/17/04

Joseph F. Hetz (Reg. No. 41,070)



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Date of Deposit

Joseph F. Hetz - Reg. No. 41,070  
Name of Applicant, Assignee or  
Registered Representative  
  
Signature

Patent  
Our Case No. 10519-114

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

|                                     |   |                      |
|-------------------------------------|---|----------------------|
| In re Application of:               | ) |                      |
| Crowley et al                       | ) |                      |
| Serial No.: 10/774,758              | ) | Group Art Unit: 2818 |
| Filed: February 9, 2004             | ) |                      |
| For: System Architecture and Method | ) |                      |
| for Three-Dimensional Memory        | ) |                      |

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to the obligation under 37 C.F.R. § 1.56 and in conformance with 37 C.F.R. §§ 1.97-1.99, Applicants hereby submit documents A1-A24 listed on the attached form PTO-1449 for consideration by the Examiner. In accordance with the August 5, 2003 OG Notice, copies of the U.S. patents and patent application publications are not provided. Copies of the other documents are enclosed herewith. Applicants request that the Examiner review the entire disclosure of these documents and make them of record.

The filing of this Information Disclosure Statement does not constitute an admission that the information cited herein is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b). Further, Applicants reserve the right to contest that any of the information submitted herewith is prior art against the present application.

Dated: August 17, 2004

Respectfully submitted,



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Joseph F. Hetz  
Reg. No. 41,070  
Attorney for Applicants

BRINKS HOFER  
GILSON & LIONE  
P.O. Box 10395  
Chicago, Illinois 60610  
(312) 321-4719

|   |                                 |                              |
|---|---------------------------------|------------------------------|
| FORM PTO-1449   | SERIAL NO.<br>10/774,758        | CASE NO.<br>10519-114        |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION DISCLOSURE<br>STATEMENT | FILING DATE<br>February 9, 2004 | GROUP ART UNIT<br>2818       |
| (use several sheets if necessary)   |                                 | APPLICANT(S): Crowley et al. |

# REFERENCE DESIGNATION

# U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |     | DOCUMENT<br>NUMBER<br><small>Number-Kind Code (if known)</small> | DATE       | NAME               | CLASS/<br>SUBCLASS | FILING<br>DATE |
|---------------------|-----|--|------------|--------------------|--------------------|----------------|
|                     | A1  | 6,034,882  | 3/7/2000   | Johnson et al.     |                    |                |
|                     | A2  | 6,420,215  | 7/16/2002  | Knall et al.       |                    |                |
|                     | A3  | 6,525,953  | 2/25/2003  | Johnson et al.     |                    |                |
|                     | A4  | US 2004-0002186 A1   | 1/1/2004   | Vyvoda et al.      |                    |                |
|                     | A5  | US 2003-0120858 A1   | 6/26/2003  | March et al.       |                    |                |
|                     | A6  | US 2002-0081782 A1   | 6/27/2002  | Cleeves            |                    |                |
|                     | A7  | US 2002-0136076 A1   | 9/26/2002  | Kleveland et al.   |                    |                |
|                     | A8  | US 2002-0136045 A1   | 9/26/2002  | Scheuerlein        |                    |                |
|                     | A9  | US 2003-0115514 A1   | 6/19/2003  | Ilkbahar et al.    |                    |                |
|                     | A10 | US 2003-0115518 A1   | 6/19/2003  | Kleveland et al.   |                    |                |
|                     | A11 | US 2002-0083390 A1   | 6/27/2002  | Lee et al.         |                    |                |
|                     | A12 | 6,486,728  | 11/26/2002 | Kleveland          |                    |                |
|                     | A13 | 6,385,074  | 5/7/2002   | Johnson et al.     |                    |                |
|                     | A14 | 6,661,730  | 12/9/2003  | Scheuerlein et al. |                    |                |
|                     | A15 | US 2002-0136047 A1   | 9/26/2002  | Scheuerlein        |                    |                |
|                     | A16 | 6,504,753  | 1/7/2003   | Scheuerlein et al. |                    |                |
|                     | A17 | 6,522,594  | 2/18/2003  | Scheuerlein        |                    |                |
|                     | A18 | 6,407,953  | 6/18/2002  | Cleeves et al.     |                    |                |
|                     | A19 | 6,515,904  | 2/4/2003   | Moore et al.       |                    |                |
|                     | A20 | US 2003-0128581 A1   | 7/10/2003  | Scheuerlein et al. |                    |                |
|                     | A21 | US 2004-0027855 A1   | 2/12/2004  | Kleveland et al.   |                    |                |

# FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL |  | DOCUMENT<br>NUMBER<br><small>Number-Kind Code (if known)</small> | DATE | COUNTRY | CLASS/<br>SUBCLASS | TRANSLATION<br>YES OR NO |
|---------------------|--|--|------|---------|--------------------|--------------------------|
|                     |  |  |      |         |                    |                          |
|                     |  |  |      |         |                    |                          |

| EXAMINER<br>INITIAL | OTHER ART – NON PATENT LITERATURE DOCUMENTS<br><small>(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.</small> |  |  |  |  |  |
|---------------------|--|--|--|--|--|--|
|                     | A22  | "An Improved Method for Making High-Density Nonvolatile Memory," U.S. Patent Application Serial No. 10/326,470, Inventors: S. Brad Herner, Maitreyee Mahajani, and Michael A. Vyvoda, Filing Date: 12/19/2002. |  |  |  |  |

|          |                 |
|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
|----------|-----------------|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

|   |                                 |                        |
|---|---------------------------------|------------------------|
| FORM PTO-1449   | SERIAL NO.<br>10/774,758        | CASE NO.<br>10519-114  |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION DISCLOSURE<br>STATEMENT | FILING DATE<br>February 9, 2004 | GROUP ART UNIT<br>2818 |
| (use several sheets if necessary)   | APPLICANT(S): Crowley et al.    |                        |

| EXAMINER<br>INITIAL | OTHER ART – NON PATENT LITERATURE DOCUMENTS<br>(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published. |  |
|---------------------|---|--|
|                     | A23   | "Current Sensing Method and Apparatus Particularly Useful for a Memory Array of Cells Having Diode-Like Characteristics," U.S. Patent Application Serial No. 09/896,468, Inventor. Roy E. Scheuerlein, Filing Date: 6/29/2001. |
|                     | A24   | "512Mb PROM with 8 Layers of Antifuse/Diode Cells," presented as ISSCC 2003/Session 16/Non-Volatile Memory/Paper 16.4 at the 2003 IEEE International Solid-State Circuits Conference (3 pages).                                |

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|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
|----------|-----------------|

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